



## UNITED STATES PATENT AND TRADEMARK OFFICE

JUL 30 2004

JC53

APPLICATION NUMBER

10/771,993

FILED OR 371 (c) DATE

02/03/2004

FIRST NAMED APPLICANT

Gary Katz

ATTORNEY DOCKET NUMBER

245001-2000.2

PCT/US TRADEMARK

UNITED STATES DEPARTMENT OF COMMERCE  
 United States Patent and Trademark Office  
 Address: COMMISSIONER FOR PATENTS  
 P.O. Box 1450  
 Alexandria, Virginia 22313-1450  
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CONFIRMATION NO. 3573

## FORMALITIES LETTER



\*OC000000012670482\*

20999  
 FROMMER LAWRENCE & HAUG  
 745 FIFTH AVENUE- 10TH FL.  
 NEW YORK, NY 10151

Date Mailed: 05/14/2004

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

08/03/2004 NRUCHAI 00000004 10771993  
 FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

01 FC:1051

130.00 OP

Items Required To Avoid Abandonment:

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing. *A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Replacement drawings in compliance with 37 CFR 1.84 and 37 CFR 1.121 are required. The drawings submitted are not acceptable because:
  - The drawings must be reasonably free from erasures and must be free from alterations, overwriting, interlineations, folds, and copy marks. See Figure(s) 14.
  - The drawings have a line quality that is too light to be reproduced (weight of all lines and letters must be heavy enough to permit adequate reproduction) or text that is illegible (reference characters, sheet numbers, and view numbers must be plain and legible) see 37 CFR 1.84(l) and (p)(1)); See Figure(s) 1-2, 3a-3d, 4a, 5a, 7, 9, 10a-10b and 11c.
  - The drawings submitted to the Office are not electronically reproducible. Drawing sheets must be submitted on paper, which is flexible, strong, white, smooth, non-shiny, and durable (see 37 CFR 1.84(e)). See Figure(s) 14.

**SUMMARY OF FEES DUE:**

Total additional fee(s) required for this application is **\$130** for a Large Entity

- **\$130** Late oath or declaration Surcharge.

Replies should be mailed to: Mail Stop Missing Parts  
Commissioner for Patents  
P.O. Box 1450  
Alexandria VA 22313-1450

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*A copy of this notice **MUST** be returned with the reply.*

L. Lee

Customer Service Center  
Initial Patent Examination Division (703) 308-1202  
PART 2 - COPY TO BE RETURNED WITH RESPONSE



PATENT  
245001-2000.2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Gary KATZ and Greg MAYNARD  
Application : 10/771,993  
Filed : February 3, 2004  
For : AUTOMATED EXCHANGE FOR  
TRADING COMPLEX ORDERS  
Group Art Number : 3622  
Examiner : TBA

745 Fifth Avenue  
New York, NY 10151

**EXPRESS MAIL**

Mailing Label Number: EV206806197 US

Date of Deposit: July 30, 2004

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Patents, Washington, DC 20231.

Charles Jackson  
(Typed or printed name of person mailing paper or fee)

Charles Jackson  
(Signature of person mailing paper or fee)

08/03/2004 NRUCHA1 00000004 10771993

02 FC:1251

110.00 OP

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF**  
**NONPROVISIONAL APPLICATION**

**MAIL STOP MISSING PARTS**  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

Dear Sir:

In response to the Notice to File Missing Parts of Non-provisional Application mailed May 15, 2004 for the above referenced patent application, Applicant encloses the following:

- a.) a copy of the Notice to File Missing Parts;
- b.) a fully executed declaration;
- c.) an executed assignment document for this application with a recordation cover sheet;
- d.) replacement drawings (24 sheets) which are free from erasures, alterations, and of line quality that allows for electronic reproduction;
- e.) a check in the amount of \$240 which includes the surcharge for late filing of the declaration by a large entity (\$130) and a one-month's extension of time fee (\$110); and
- f.) a check in the amount of \$40 which is the fee for the recordation of the assignment document.

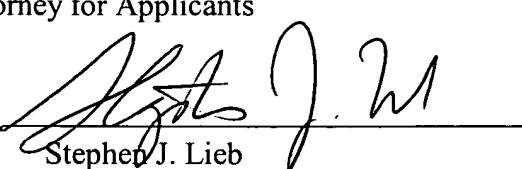
**PETITION FOR EXTENSION OF TIME**

Pursuant to 37 C.F.R. §1.136(a), a one-month extension of the term for reply, *i.e.*, to up to and including August 14, 2004 is requested. The \$110.00 fee required under §1.17(a) is enclosed.

The Commissioner is authorized to charge any additionally required fee for the extension or any other fee occasioned by this paper, or to credit any overpayment in such fees, to Deposit Account No. 50-0320.

Respectfully submitted,  
FROMMER LAWRENCE & HAUG LLP  
Attorney for Applicants

By:

  
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